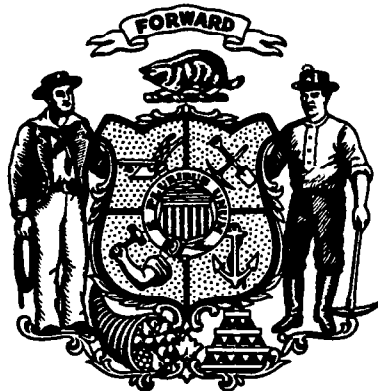


General Records Schedule:

Worker's Compensation and Related Records



**For use by
State of Wisconsin Government Agencies**

Public Records Board

RDA #90300 - 90311

Revised, July 1997

STATE OF WISCONSIN
DEPARTMENT OF ADMINISTRATION
101 East Wilson Street, Madison, Wisconsin



Mailing Address
Post Office Box 7869
Madison, WI 53707-7869

TOMMY G. THOMPSON
GOVERNOR
MARK D. BLUGHER
SECRETARY

Date: July 1, 1997

To: Agency Worker's Compensation Managers and Coordinators, Agency
Records Officers and Coordinators, and Other Staff that work with
State Worker's Compensation Records

From: Hiram Shaw, Manager, State Worker's Compensation Program, DOA *Hiram Shaw*

Subject: General Records Schedule: Worker's Compensation and Related Records

The attached statewide General Records Schedule: Worker's Compensation and Related Records was approved by the Public Records Board on November 15, 1995. In most cases, agency staff should follow the retention periods in this schedule and routinely destroy records after the time periods specified have passed. No further approval is needed from either DOA or the Public Records Board.

Worker's Compensation (WC) Program staff and delegated WC managers from UW System Administration and the Department of Transportation will be working together to bring existing records into conformance with the schedule. WC coordinators will soon receive more detailed information on which materials need to be transferred to the central files and which materials are duplicates and convenience copies. Per the schedule, WC coordinator claim records should be destroyed one year after the case is closed as determined by the assigned claims adjuster.

We call your attention to the letters of endorsement from the Bureau of State Risk Management, the Secretary of DOA, Legislative Audit Bureau and the Office of the Attorney General.

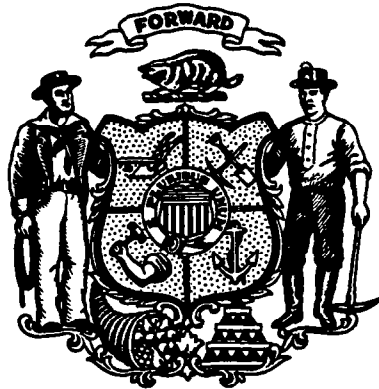
Special thanks to Valerie Clemen, DOA Records Officer, for taking a leadership role in developing this document. Thanks also to those worker's compensation staff and records managers who contributed their time and energy on this effort.

If you have questions about this, the interpretation and implementation of this records schedule, you should first contact your agency's designated WC coordinator or WC manager. You may also contact your designated agency records officer. If you need additional assistance, you may contact Harold Coltharp, (608) 266-2770, or Steve Hirsch, (608) 266-2996, of the DOA Records Management Section, or me at (608) 267-2728.

Attachment

General Records Schedule:

Worker's Compensation and Related Records



**For use by
State of Wisconsin Government Agencies**

Public Records Board

RDA #90300 - 90311

Revised, July 1997

Table of Contents

LETTERS OF ENDORSEMENT

<i>Department of Administration Secretary</i>	i
<i>Legislative Audit Bureau</i>	ii
<i>Office of Attorney General</i>	iii

PURPOSE and BACKGROUND	1
------------------------------	---

SCOPE	2
-------------	---

<i>Records Functions Included</i>	2
<i>Interrelated Records Cross-referenced</i>	2
<i>Records Not Included</i>	2
<i>Electronic Records</i>	2

FOR EFFECTIVE USE OF THIS SCHEDULE	3
--	---

<i>Identify Official Record and Agency and Working Copies</i>	3
<i>Records Series Title and Categories</i>	3
<i>Develop and Maintain Documentation of Risk Management Policies, Procedures, Transactions and Control</i>	4
<i>Control Retention and Disposition of Worker's Compensation Records</i>	4

RETAINING RECORDS	4
-------------------------	---

<i>Delaying Records Destruction</i>	5
<i>Maintaining Inactive Records</i>	5

FOR ADDITIONAL INFORMATION AND ASSISTANCE	5
---	---

WORKER'S COMPENSATION PROGRAM	6
-------------------------------------	---

CONFIDENTIALITY OF RECORDS	6
----------------------------------	---

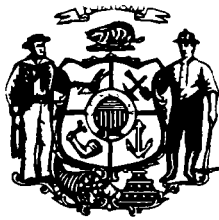
WORKER'S COMPENSATION ELECTRONIC DATA SYSTEM	7
--	---

INTERFACE SYSTEMS AND APPLICATIONS	8
--	---

RECORD SERIES SUMMARY	9
-----------------------------	---

WORKER'S COMPENSATION RECORD SERIES	11
---	----

APPENDIX	15
----------------	----



Date: July 14, 1997

To: Agency Worker's Compensation (WC) Managers, Agency WC Coordinators,
Agency Records Officers and Staff who work with Worker's Compensation
and Related Records

From: Mark D. Bugher, Secretary
Department of Administration

Subject: General Records Schedule: Worker's Compensation and Related Records

The attached statewide General Records Schedule: Worker's Compensation and Related Records was developed by an interagency working group consisting of the DOA Worker's Compensation Manager, agency personnel with responsibilities for worker's compensation records, agency records officers and staff from the DOA Records Management Section. The Public Records Board approved the general records schedule for worker's compensation on November 15, 1995, establishing statewide policy guidance for retention of these types of records.

The document provides guidance for managing worker's compensation and related records to meet all reasonable needs. The general schedule provides the opportunity to manage state worker's compensation and related records more efficiently and consistently among state agencies. Because the retention periods for occupational disease and occupational injury case files are lengthy, it is important that agency worker's compensation coordinators follow the schedule which calls for routine destruction of duplicate agency WC case files and reliance on the official files maintained by DOA and those large agencies with delegated authority.

If you have questions about the interpretation and implementation of this records schedule you should first contact your agency's designated worker's compensation coordinator or agency records officer. If you need further assistance you may contact:

-For University of Wisconsin System and Campuses: Peter Nelezen, UW Systems Administration Risk Management, 780 Regent Street, Room 131, Madison, WI 53708, telephone: (608) 265-5791.

-For Department of Transportation: Pamela Louther, Risk and Safety Management, DOT, 4802 Sheboygan Avenue, Room 751, Madison, WI 53707-7915, telephone: (608) 266-6623.

-For all other agencies and for general information on the state Worker's Compensation Program: Hiram Shaw, State WC Manager, Department of Administration, State Bureau of Risk Management, 101 East Wilson Street, Madison, WI 53707-7844, telephone: (608) 267-2728.

If you have questions about records management or suggestions on how to improve the presentation of this general schedule contact: Steve Hirsch, Department of Administration Records Management Section at (608) 266-2996.

Attachment



State of Wisconsin \

LEGISLATIVE AUDIT BUREAU

DALE CATTANACH
STATE AUDITOR
SUITE 402
131 WEST WILSON STREET
MADISON WISCONSIN 53703
(608) 266-2818
FAX (608) 267-0410

DATE: November 28, 1995

TO: Worker's Compensation Managers, Agency Worker's
Compensation Coordinators and Agency Staff that work with Worker's
Compensation Related Records

FROM: Thomas L. Mickelson
Deputy State Auditor

A handwritten signature in cursive script, appearing to read "Thomas L. Mickelson", written over the printed name.

SUBJECT: General Records Schedule for Worker's Compensation Related Records

The enclosed General Records Schedule for Worker's Compensation Related Records was approved by the Public Records Board on November 15, 1995. As a member of the Board, I have reviewed the general records schedule and I am satisfied that it should comply with both state and federal audit requirements.

The purpose of this and other general records schedules is to provide more consistent and efficient management of records at each state agency. Because some of the records covered in this schedule have lengthy required retention periods, it is especially important to minimize the retention of duplicate copies of these records beyond their usefulness. The official case file maintained by the Department of Administration or other state agencies with delegated authority for maintaining the official file should be sufficient if a case is reopened or historical information is needed from a case file.

TM/ce

Enclosure



STATE OF WISCONSIN
DEPARTMENT OF JUSTICE

AMES E. DOYLE
ATTORNEY GENERAL

Burneatta L. Bridge
Deputy Attorney General

123 West Washington Avenue
P.O. Box 7857
Madison, WI 53707-7857

Alan Lee
Assistant Attorney General
608/266-0020
FAX 608/267-2223
TTY 608/267-8902

Date: November 16, 1995

To: Worker's Compensation Managers, Agency Worker's
Compensation Coordinators, and Agency Staff That Work
With Worker's Compensation Related Records

From: Alan Lee
Assistant Attorney General

Subject: General Records Schedule: Worker's
Compensation Related Records

The attached General Records Schedule for Worker's Compensation Related Records was approved by the Public Records Board on November 15, 1995. As a member of the Board I endorse this general records schedule. This document provides guidance for managing state workers compensation related records to meet all reasonable retention needs. Retention periods specified in the general schedule are sufficient for legal purposes.

Agency staff should follow the retention periods established in this schedule and routinely destroy records after the time periods specified have passed. Defer routine records destruction in cases involving litigation, court orders, open records requests or outstanding audits until the special need for continued retention ceases.

If you have questions about the legal interpretation of state worker's compensation related records first contact a WC manager or your agency legal staff. If your agency does not have a legal staff or WC manager contact me at (608) 266-0020.

AL:dj

GENERAL SCHEDULE: Worker's Compensation and Related Records

PURPOSE

The purpose of this schedule is to:

- Provide all state agencies with uniform guidelines for the retention and disposition of common worker's compensation (WC) and related records;
- Ensure that agencies retain WC records as long as needed for internal administration, and to meet legal, fiscal, audit and other state and federal requirements;
- Promote cost-effective management of records; and
- Provide agencies with legal authorization to dispose of obsolete records on a regularly-scheduled basis after minimum retention periods.

BACKGROUND

This general schedule applies to all state agencies and campuses. This includes state executive, legislative, and judicial agencies, and all University of Wisconsin agencies and campuses.

Section 102.08, Wis. Stats., provides that the Department of Administration (DOA) has responsibility for administration of worker's compensation benefits for all state employees. DOA has delegated claims management responsibilities to the Department of Transportation (DOT) and the University of Wisconsin (UW) System—for all UW institutions. These three entities are identified as "DOA, DOT, UW System." It is not intended that any further delegation is likely at this time. All state agencies and institutions report WC claims to DOA, except DOT and UW System employees. If agency personnel are not part of DOT or the UW, deal directly with DOA on worker's compensation issues.

Each executive, legislative, and judicial state agency unit or campus has designated worker's compensation coordinators who assist in processing claims and provide direct customer assistance with WC claims within each agency. The WC coordinator is the principal liaison with respective DOA, DOT or UW System claims handlers.

The Department of Workforce Development (DWD) regulates all worker's compensation activity under Chapter 102 of the statutes. Records in this series only include those related to DOA's administration of the program for state employees and do not include DWD records.

SCOPE

This general schedule covers records series that all state agencies create and use to document each “near-miss,” “incident,” “occupational injury,” and “occupational disease” incidents alleged to have affected a state employee, whether or not incidents result in WC claims. The schedule covers all records contained in incident reports and claim files maintained by state agencies. Records in this series are used to document worker’s compensation occurrences, to document rights to certain benefits, and to maintain accurate payment records.

Records Functions Included: Records series include the following functions:

- Accident reporting system
- Benefit accounting and documentation
- Medical documentation
- Claims services and management reports and documentation of activities
- Claims services and benefit invoices
- Claims payment records
- Claims correspondence
- Litigation documents
- Vocational rehabilitation documents
- Diaries and notebooks for each claim

Interrelated Records Cross-referenced: Other records related to worker’s compensation are covered by other general schedules. These include payroll, accounting and procurement records.

Records Not Included: This general schedule does not include the following types of records:

- Worker’s compensation records maintained by the Department of Workforce Development for purposes of regulating worker’s compensation functions under Chapter 102, Wis. Stats., and related rules and statutes.
- Unemployment compensation records.
- Risk management property and liability records.

Electronic Records: This schedule applies to electronic data and tapes/cartridges maintained and managed by the DOA Bureau of State Risk Management and its network, including DOT, UW System, and UW-Madison worker’s compensation entities. The system, known as the “Worker’s Compensation Claims System,” (WCCS) is the only official, electronic data system included in this schedule. Agencies and campuses maintaining separate electronic data systems should develop RDA’s for them. Agency systems are not copies of WCCS records.

FOR EFFECTIVE USE OF THIS SCHEDULE

Identify the Official Records and Agency and Working Copies: Many WC records are produced in multiple copies, by using multi-ply forms or by photocopying. This schedule covers all copies of the record, including the following:

Official Record: The official record, retained by DOA, DOT, or UW System, is the record that is most likely to be used for claims management purposes. This file is located in the:

- Department of Administration's Bureau of State Risk Management;
- Department of Transportation's Risk and Safety Management Section; or
- University of Wisconsin System's Office of Safety and Loss Prevention.

Agency Copy: The agency should also identify the agency copy and its location in the agency. The agency copy is that copy that must be retained to satisfy any agency-specific management requirement of the agency's operation. The agency copy usually is maintained by the WC coordinator. *Do not send agency copies to the State Record Center.*

Working Copies: All other copies of the record are considered working or convenience copies. In the interest of efficiency, do not keep these copies longer than needed or more than 18 months. If you do not need convenience copies in the office, discard them as soon as practical. *Do not send working copies to the State Records Center.*

NOTE: *Working copies should not be retained longer than the official file and agency copies of the record, because of the costs associated with continuing to maintain them. If an agency continues to retain convenience copies beyond the retention periods set for the official file and agency copies, the agency will need to provide appropriate access to these copies in response to audit or legal requests and the Open Records Law.*

Records Series Titles and Categories: Titles of records series may not be the exact titles used by an agency for each record or records series. For example, the "Occupational Illness and Injury Report" is now the "Employee Occupational Illness and Injury Report." This general schedule will apply to both reports. Updated and similar forms will be treated the same for purposes of the general schedule.

The schedule requires some interpretation and application to specific agency titles of worker's compensation records. If agency staff are uncertain about the

schedule's application to a specific group of records or need assistance, see the "For Additional Information and Assistance" section to identify sources for advice.

Beginning on page 10, each records series is described in narrative detail, including lists of forms, reports and other items included in the series. All items within a series relate to the same topic and have the same retention requirements.

For ease of reference you may consult an attached appendix at the end of this document. The appendix lists the various forms, reports, and documents in the worker's compensation files.

Develop and Maintain Documentation of Worker's Compensation Policies, Procedures, Transactions and Control: Agencies need to maintain adequate documentation of worker's compensation transactions and activities to meet internal administrative needs, legal purposes, and program and financial audit requirements. This schedule provides agency staff with a sound basis for adequate program documentation.

Agency Records Management Officers should work with worker's compensation personnel to implement organized filing systems and design information processes that are consistent with effective, efficient records management principles. Design filing systems to meet staff informational needs and facilitate cross-reference to retention and disposition guidance in this schedule.

Control Retention and Disposition of Worker's Compensation Records: The agency should use this schedule to dispose of records that are no longer needed on a continuing basis. Implement the retention and disposition policies in this schedule in a timely and efficient manner. To facilitate disposition, agency staff should cut off files periodically and develop methods to mark files when they close.

Disposition includes transfer of records to State Records Center storage, when appropriate, and destruction of records through the state's wastepaper or confidential recycling contract. For most worker's compensation records, the final disposition is destroy.

RETAINING RECORDS

Agencies are required to follow this schedule. Retention periods established and disposition directions are state policy requirements for worker's compensation records. Records may be retained for longer purposes under the conditions listed below.

Delaying Records Destruction: Records should only be retained for periods longer than the retention periods specified in this schedule if:

- Particular records are subject to an open audit;
- Records are needed in a legal action; or
- An open records request for particular records has been received.

The Wisconsin Open Records Law, s. 19.35(5), Wis. Stats., forbids the destruction of any record after an inspection or copying request until the request is granted, or at least 60 days after the date that the request is denied. Court orders may extend this time period. The agency's Legal Custodian of records can provide advice.

It is the responsibility of the office holding the record to determine if an audit, litigation or an open records request is pending before disposing of that record.

Maintaining Inactive Records: Inactive records that must be retained for an additional period of time before the expiration of their legal retention requirements should be transferred to a low-cost, inactive records facility, such as the State Records Center.

FOR ADDITIONAL INFORMATION AND ASSISTANCE

Agency personnel should also consult with the following resource staff for additional information and assistance with records management concerns.

DOA Records Management Section: The DOA Records Management Section provides free training sessions, as needed, on implementation of general records schedules. They also provide additional copies of this general schedule.

Records Officer: Each agency has a designated Records Officer who serves as liaison to the Public Records Board. The Records Officer is responsible for agency-wide records management planning, program development, and assistance on records issues.

Public Records Board: The Public Records Board approves general records schedules establishing statewide policy guidance for retention of these types of records. Retention periods specified in the general schedule are sufficient to meet administrative, fiscal, and legal needs.

State Historical Society: The State Historical Society of Wisconsin assists agencies with records management, particularly in identifying the small percentage of records that have historical value. Few records covered in the general schedule for worker's compensation have secondary historical or research value.

WORKER'S COMPENSATION PROGRAM

Section 16.865, Wis. Stats., authorizes the Department of Administration to coordinate a statewide risk management program. Sub part (4) requires the department to manage the state employees' worker's compensation program along with other risk management programs areas, such as property and liability. This schedule only applies to worker's compensation records. At a future date, liability and property records may be added to cover all facets of the state risk management program.

Section 102.08, Wis. Stats., Worker's Compensation Act of Wisconsin, provides the Department of Administration has responsibility for providing benefits and performing other functions as an employer under the act for state employees and their dependents.

The worker's compensation program is self-funded, meaning that an appropriation exists to pay claims [s. 20.865(1)(dm), Wis. Stats.], and state agencies are assessed for claims based on their loss experience.

All claims are managed centrally by DOA, within the Bureau of State Risk Management, except for delegation of certain management functions to the UW System Administration and Department of Transportation risk management units for their respective employees.

DOA investigates and pays valid claims. DOA's Dispute Resolution Manager reviews all claims filed for hearings of disputes between an employee and the department. The manager coordinates legal defense of claims with the Attorney General who has the exclusive responsibility of representing the state in administrative and judicial proceedings.

CONFIDENTIALITY OF RECORDS

In accordance with s. 102.33 (2)(b), Wis. Stats., records maintained by the state of Wisconsin, in its capacity as the administrator of the state's worker's compensation program (s. 102.08, Wis. Stats.), shall be confidential where they reveal the identity of an employee who claims worker's compensation, the nature of the employee's claimed injury, the employee's past or present medical condition, the extent of the employee's disability, or the amount, type, or duration of benefits paid to the employee. Records that are not privileged may be provided to any party when the employee who is the subject of the record, or an attorney or authorized agent of the employee, provides a written authorization for inspection and copying.

State agencies making use of such confidential records for purposes such as labor management safety committee deliberations shall abide by the above

confidentiality requirements and shall take extreme caution in protecting the identity of any employee when disseminating case examples of health and safety problems. Under no circumstances shall any medical notes or records be provided to any party except personnel actively engaged in the administration of employee benefits.

Personally identifiable information: WC records do contain personally identifiable information (such as name, social security number, telephone number, etc., that can be associated with a particular individual through one or more identifiers, other information or circumstances). The information remains confidential. Only the fact that it exists is reported to the Public Records Board, so they can include its existence in their Privacy Registry, in accordance with s. 19.62, Wis. Stats..

For additional information and assistance implementing this general schedule outside of DOT or the UW System contact: Bureau of State Risk Management, 101 East Wilson Street, P.O. Box 7844, Madison WI 53707-7844.

For UW System WC issues contact: Office of Safety and Loss Prevention, 780 Regent Street, Room 1312, P.O. Box 8010, Madison WI 53708-8010.

For DOT WC issues contact: Risk and Safety Management Section, 4802 Sheboygan Avenue, Room 751, P.O. Box 7910, Madison WI 53707-7910.

WORKER'S COMPENSATION ELECTRONIC DATA SYSTEMS

Specific instructions for retention and disposition of electronic data are contained in the descriptions of each type of record to be retained for worker's compensation purposes. The purpose of this section is to describe DOA's electronic data system for worker's compensation.

System Description: The Worker's Compensation Claims System (WCCS) was installed May 16, 1994. The WCCS is a software product purchased from Anistics, Inc. and designed specifically for worker's compensation purposes. The WCCS has been customized to meet the data needs of the State of Wisconsin Worker's Compensation Program. The WCCS operates as a PC Local Area Network, based from file servers owned and located at the Department of Administration at 101 East Wilson Street and connecting with the Department of Transportation, University of Wisconsin System, and University of Wisconsin-Madison. These agencies enter and modify WC claims, as necessary.

The WCCS records were initially comprised of worker's compensation claim records maintained on the DOA mainframe (for DOA and DOT) and the UW System mainframe, for the UW System. UW Madison joined the network during FY 95. The system is designed to enable access by additional agencies. Future

plans also include electronic transfer of data from WCCS to the regulatory agency (Dept. of Workforce Development, Worker's Compensation Division) and upgrading the WCCS for compatible optical imaging features.

All WCCS records are keyed to an automatically-assigned claim number by DOA, DOT, or UW System. The first two digits are the year of the date of injury. The following six digits are sequential numbers automatically assigned as claims are entered into the system.

The following features are included in WCCS:

- Claim characteristics (claim number, name, address, social security number, date of birth, type of claim, agency identification code, location of claim, cause of claim, result of injury, etc.).
- Payment histories.
- Notebook function with running notes on claim activities.
- Diary function with reminders for actions to be taken on claims.
- Claim reserving function.
- OSHA records.
- Reporting function, enabling generation of pre-programmed as well as ad-hoc reports covering such areas as list of active claims, list of claims per agency, summary of claim costs, summary of causes of injuries, ranked from most common to least common, etc.

DOA's Bureau of State Risk Management is committed to converting data to new technology to insure accessibility over time.

INTERFACE SYSTEMS AND APPLICATIONS

Data from the Worker's Compensation Claims System interface during processing and provide data to the state accounting system (WiSMART), operated by DOA for statewide fund accounting, expenditure monitoring, and generation of financial statements.

Worker's Compensation and Related Records

Record Series Summary

RDA No.	Records Series Title	Media	Official Copy	Agy. Copy	Work Copy	Retention Requirements	Disposition
90300	Workers Compensation Claims Case Files	Paper	DOA, DOT, UW-System WC Admin.			EVENT (close of case) + 30 yrs.	Destroy
90300A	Agency WC Coordinator Copy	Paper		X		EVENT (close of claim) + 1 yr.	Destroy
90300B	Working Copies	Paper			X	Not Needed	Destroy
90301	Do not use						
90301A	Do not use						
90301B	Do not use						
90302	Incident Reports - No Claim	Paper	DOA, DOT, UW-System WC Admin.			Creation + 30 yrs.	Destroy
90302A	Agency Safety Officer	Paper		X		Not Needed	Destroy
90302B	Working Copies	Paper			X	Not Needed	Destroy
90303	Near-Miss Reports	Paper	DOA, DOT, UW-System WC Admin.			EVENT (data entry into WCCS)	Destroy
90303A	Agency Safety Officer Copy	Paper		X		EVENT (resolution)	Destroy
90304	WCCS Workers Compensation Claim Files	Elec	DOA WC Admin.			EVENT (close of case) + 30 yrs.	Destroy
90305	Do not use						
90306	WCCS Incident Reports	Elec	DOA WC Admin.			Creation + 30 yrs.	Destroy
90307	WCCS Near-Miss Data Files	Elec	DOA WC Admin.			Creation + 3 yrs.	Destroy
90308	WCCS Output Reports	Paper	DOA, DOT, UW-System WC Admin.			Not Needed	Destroy
90308A	Agency WC Coordinator Copies	Paper		X		Not Needed	Destroy

RDA No.	Records Series Title	Media	Official Copy	Agy. Copy	Work Copy	Retention Requirements	Disposition
90308B	Working Copies	Paper			X	Not Needed	Destroy
90309	Statewide WC Policies	Paper	DOA WC Admin.			Creation + 6 yrs.	Transfer-SHSW
90309A	Agency WC Coordinator Copy	Paper		X		EVENT (superseded)	Destroy
90310	WC Procedures and Procedural Correspondence	Paper	DOA WC Admin.			Creation + 6 yrs.	Transfer - SHSW
90310A	Agency WC Coordinator Copy	Paper		X		EVENT (superseded)	Destroy
90311	WC Committee Meeting Minutes	Paper	DOA WC Admin.			Creation + 5 yrs.	Transfer - SHSW
90311A	WC Committee Members Copies	Paper		X		Creation + 1 yr.	Destroy

WORKER'S COMPENSATION RECORDS SERIES

90300 Workers Compensation Claims Case Files: Workers compensation claims filed by state and UW System employees. These claims can be categorized as:

Medical claims (No lost time): A claim where an injured employee obtains medical treatment but does not include time off from work.

Typical records may include, but are not limited to: accident reports, medical reports, employee exposure records, certifications, payment information, medical invoices, investigation materials, subrogation files, worker's compensation claims fact sheet, medical information authorization, labor market availability restriction statement, vocational rehabilitation information, related correspondence, and other related forms.

Lost time claims: A claim where an injured employee requires four (4) or more days off from work.

Typically, claims include the same records as in medical claims files, as well as lost time documentation and disability payment material.

Hazardous employment claims: A claim presented by certain occupational classes and of hazardous nature as defined in s. 230.36. Wis. Stats.

Hazardous employment claims include the same records as in medical claims, as well as s. 230.36, Wis. Stats., (hazardous employment) documentation.

- | | |
|-------------------------------|---|
| 90300, Official file: | DOA, DOT, UW-System. Paper. Retain from event +30 years and destroy. Event = close of case as determined by assigned claims examiner. |
| 90300A, Agency copy: | WC coordinator. Paper. Close of claim, plus 1 year and destroy. Closure date is determined by claims examiner. |
| 90300B, Working copy: | Supervisor or unit. Paper. Destroy when no longer needed. |
| 90301; 90301 A; 90301B | Do not use |

90302 Incident reports-No Claims (Incidents only, no claims, no lost time): Information on incidents is documented in the accident report, employee exposure records, supervisory analysis, safety officer analysis and related correspondence. This records series covers incident reports for which no claims are filed.

90302, Official file: DOA, DOT, or UW-System. Paper. Retain from creation + 30 years and destroy. Creation = date of incident.

90302A, Agency copy: Safety officer. Paper. Destroy when no longer needed.

90302B, Working copy: Management, Safety Committee, and WC coordinator. Paper. Destroy when no longer needed.

90303 Near-Miss Reports: Documentation on accident analysis forms describing hazardous working conditions that *could* lead to WC claims. Data from these forms are gleaned to study trends and to improve a safe working environment.

90303, Official file: DOA, DOT, UW-System. Paper. Retain until event and destroy. Event = data entry into WCCS.

90303A, Agency copy: Safety officer. Paper. Destroy when not needed.

90304 WCCS Workers Compensation Claims Files: Electronic Data. This record series covers electronic data in the WCCS for all workers compensation claims by state and UW System employees. Only DOA, DOT, and UW-System have access to this database.

This series covers electronic data, entered from the official paper files, related to medical claims (no lost time), lost time claims, and hazardous employment claims and includes: Claim number, name, address, social security number, date of birth, type of claim, agency identification code, location of claim, cause of claim, result of injury, payment histories, etc.

90304, Official file: DOA WC Admin. Electronic data base. Retain from event + 30 years and destroy. Event = close of case as determined by assigned claims examiner.

90305 Do not use

90306 WCCS Incident reports (Incidents only, no claims, no lost time): This electronic database is created with information from the: accident report, employee exposure records, supervisory analysis, safety officer analysis, and related correspondence.

90306, Official file: DOA WC Admin. Electronic data base.
Retain from creation + 30 years and destroy.
Creation = date of incident.

90307 WCCS Near-Miss Data Files: This electronic database is created from information on accident analysis forms describing hazardous working conditions that *could* lead to WC claims. Statistics based upon the number and variety of these near-misses are used to study trends and to improve a safe working environment. Complete files on near-misses are saved only in the database.

90307, Official file: DOA WC Admin. Electronic data base.
Retain from creation + 3 years. Creation = date of near-miss occurrence.

90308 WCCS Output Reports: These paper records include statistical descriptions or summaries of types of statewide claims. Monthly or quarterly reports are distributed to department heads, division administrators, and state agencies. Reports support program initiatives.

90308, Official file: DOA, DOT, UW-System. Paper.
Destroy when no longer needed.

90308A, Agency copy: WC coordinator. Destroy when no longer needed.

90308B, Working copy: Supervisor or unit. Destroy when no longer needed

90309 Statewide WC Policies: Records include Worker's Compensation policies, administrative rules and program guidelines for managing the WC claims per s.102.08, Wis. Stats..

90309, Official file: DOA. Paper. Retain from creation + 6 years.
Transfer to State Historical Society of Wisconsin.

90309A, Agency copy: WC coordinator. Destroy when superseded.

90310 WC Procedures and Procedural Correspondence: Records include procedures and related records for carrying out the mandated policies.

90310, Official file: DOA. Paper. Retain from creation + 6 years and transfer to State Historical Society of Wisconsin .

90310A, Agency copy: WC coordinator. Destroy when superseded.

90311 WC Committee Meeting Minutes: Records of committee meetings that address WC issues. Minutes may include originals of handouts, a roster of members, subjects discussed and decisions made.

90311, Official file: DOA. Paper. Retain from creation + 5 years. Transfer to State Historical Society of Wisconsin.

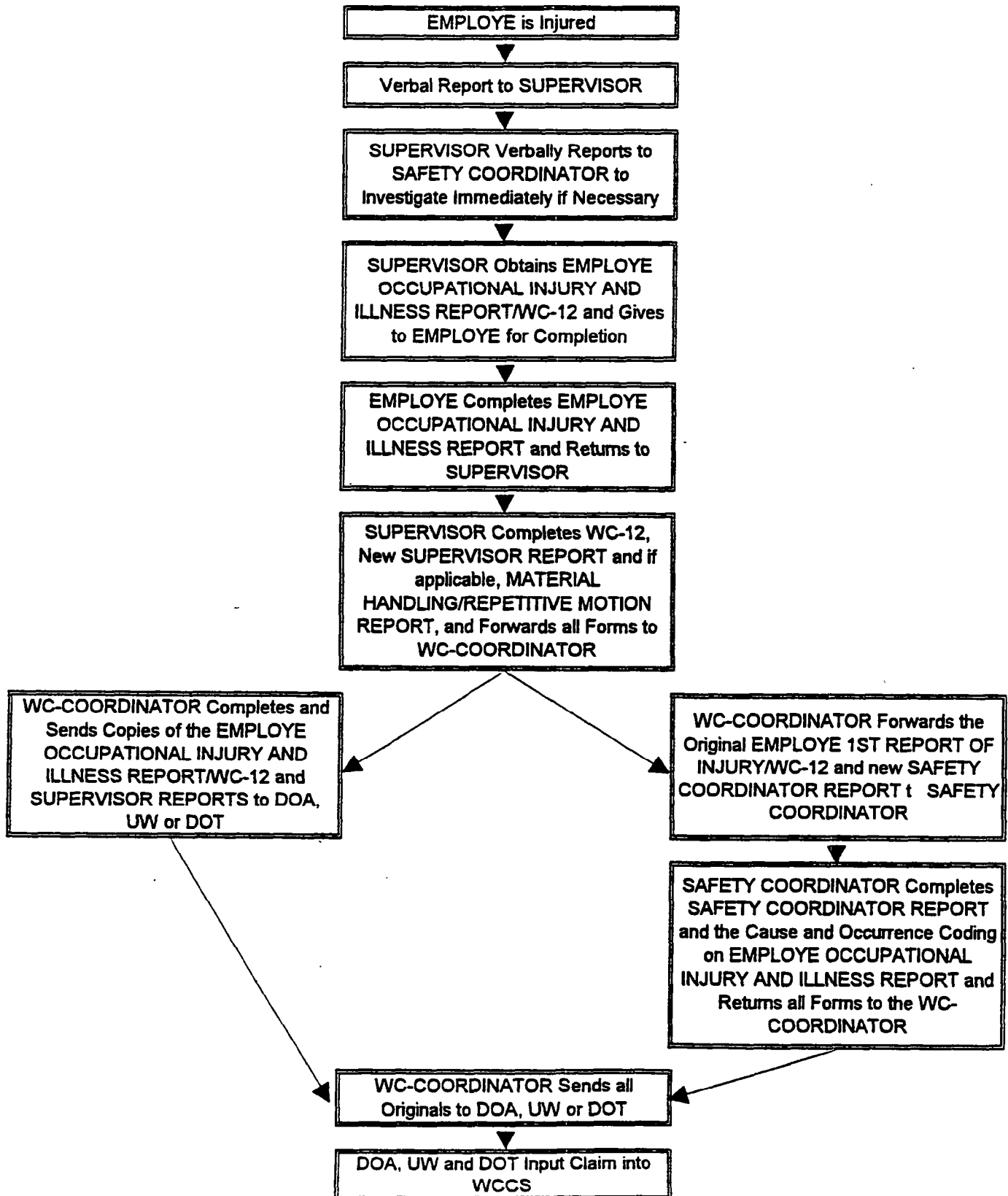
90311A, WC Committee Member

Copies and Agency file: Retain from creation + 1 year and destroy.

Payment and vendor records: Those payment (paid invoices only) and vendor records not included in the claims files are included in the Fiscal and Accounting General Schedule and Purchasing and Procurement General Schedule. Vendor records include all information for the procurement process, contracts, invoices, and supporting documentation.

APPENDIX

Th "IDEAL" W rker's C mp nsati n Claims Pr c ss



Documents used in Worker's Compensation Claims

Employee Occupational Injury and Illness Report (DOA-6058)
Employer's First Report of Injury or Disease (WC-12)
Supervisor's Accident Analysis and Prevention Report (DOA-6437)
Safety Coordinator's Review (DOA-6347)
Repetitive Motion Injury Accident Analysis Report (DOA 6436)
Material Handling Injury Accident Analysis Report (DOA 6436)
Request for Leave of Absence w/Pay Due to Injury (DER-DCC-22)
Penalty documentation
Claims investigation files
Claims payments log
Medical reports/notes
Medical bills
WC Distribution Premiums
Supplementary Report on Accidents and Industrial Diseases (Form WC-13)
Disability Approval (ET5804)
Accumulated Leave Certification (ET4306)
Request for Social Security Information (WKC-6156)
Position Description (DER-PERS-10)
Vendor Records (P.O.s, bills, payments, contracts, correspondence, RFPs)
Temporary Disability (WC-26)
WC Temporary or Permanent Disability Benefits for Job-related Injuries (DOA6026)
Temporary Partial Disability (WKC7359, formerly WC-13B)
Wage Information (WKC-13A)
Income Continuation Benefit Claim Form (State) (ET-5301)
Social Security Reverse Effect Worksheet (WDC6119)
Medicaid/Medicare
Duty Disability Retirement, s.40.65, Wis. Stats.
Physician's Certification (AD-WC-4)
Practitioner's Report on an Accident or Industrial Diseases in Lieu of Testimony (WC 16-B)
Preliminary Administrative Hearing documents
Administrative Hearing documents
Investigation tapes/transcripts of records/video tapes
WC Mileage Records (Medical Mainly)
Notice of Hearing (JU04F)
Application for Hearing (DILHR WC-7)
Admission to Service & Answer to Application (WC-19)
WC Activity Log (AD-WC-10)
Disability/Medial Expense Ledger (AD-WC-12)
Ad Hoc Reports:
 Quarterly Claims Expense Report
 WC Expenditures Detail

Quarterly Count of Claims Incurred
WC Claims Incurred Detail
WiSMART Batches (vouchers, payment logs, provider's logs)

Related documents: Payroll General Schedule
Fiscal and Accounting General Schedule
Subrogation files
DILHR WC RDAs

Location of Documents in RDA's

Worker's Compensation Claims Documents	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA
	90300	90302	90303	90304	90306	90307	90308	90309	90310	90311
Employee Occupational Injury and Illness Report (DOA-6058)	X	X	X	X	X	X				
Employer's First Report of Injury or Disease (WC-12)	X	X	X							
Supervisor's Accident Analysis and Prevention Report (DOA-6437)	X	X	X	X	X	X				
Safety Coordinator's Review (DOA-6347)	X	X	X	X	X	X				
Repetitive Motion Injury Accident Analysis Report (DOA-6436)	X			X	X	X				
Material Handling Injury Accident Analysis Report (DOA-6436)	X	X	X	X	X	X				
Request for Leave of Absence w/Pay Due to Injury (DER-DCC-22)	X			X						
Penalty documentation	X			X						
Claims investigation files	X			X						
Claims payments log	X			X						
Medical reports/notes	X			X						
Medical bills	X			X						
WC distribution premiums								X	X	
Supplementary Report on Accidents and Industrial Diseases (Form WC-13)	X			X						
Disability Approval (ET5804)	X			X						
Accumulated Leave Certification (ET4306)	X			X						
Request for Social Security Information (WKC-6156)	X			X						
Position Description (DER-PERS-10)	X			X						

Location of Documents in RDA's

Worker's Compensation Claims Documents	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA
	90300	90302	90303	90304	90306	90307	90308	90309	90310	90311
Temporary Disability (WC-26)	X			X						
WC Temporary or Permanent Disability Benefits for Job-related Injuries (DOA-6026)	X			X						
Temporary Partial Disability (WKC7359, formerly WC-13B)	X			X						
Wage Information (WKC-13A)	X			X						
Income Continuation Benefit Claim Form (State) (ET-5301)	X			X						
Social Security Reverse Effect Worksheet (WDC6119)	X			X						
Medicaid/Medicare	X			X						
Duty Disability Retirement, s. 40.65, Wis. Stats.	X			X						
Physician's Certification (AD-WC-4)	X			X						
Practitioner's Report on an Accident or Industrial Diseases in Lieu of Testimony (WC 16-B)	X			X						
Preliminary Administrative Hearing documents	X			X						
Administrative Hearing documents	X			X						
Investigation tapes/transcripts of records/video tapes	X			X						
WC Mileage Records (medical mainly)	X			X						
Notice of Hearing (JU04F)	X			X						
Application for Hearing (DILHR WC-7)	X			X						
Admission to Service & Answer to Application (WC-19)	X			X						
WC Activity Log (AD-WC-10)	X			X						

Location of Documents in RDA's

Worker's Compensation Claims Documents	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA	RDA
	90300	90301	90302	90303	90304	90305	90306	90307	90308	90309	90310	90311
Disability/Medial Expense Ledger (AD-WC-12)	X	X			X	X						
Ad Hoc Reports:									X			
Quarterly Claims Expense Report									X			
WC Expenditures Detail									X			
Quarterly Count of Claims Incurred									X			
WC Claims Incurred Detail									X			
WC meeting minutes												X